

PATENT

#3

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

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OFFICE OF PETITIONS

APPLICANT(S): David Fotland and Tibet Mimaroglu
APPLICATION NO.: 09/888,296
FILING DATE: June 22, 2001
TITLE: System And Method For Reading And Writing A
Thread State In A Multithreaded Central Processing Unit
EXAMINER: Not Yet Known
GROUP ART UNIT: Not Yet Known
ATTY. DKT. NO.: 20880-06029; Case 6029 US

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 24 Sept. 2001By: [Signature]

John T. McNelis, Reg. No.: 37,186

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION AND
CHANGE OF SMALL ENTITY STATUS UNDER 37 CFR 1.28(c)

SIR:

Responsive to the Notice to File Missing Parts dated July 24, 2001 received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☒ an original, signed Power of Attorney;

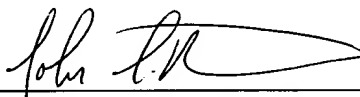
☒ payment in the amount of \$130.00 for the

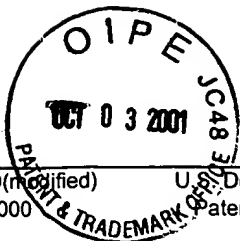
☒ missing parts surcharge.

☒ Applicants revoke their claim to small entity status under 37 CFR 1.28 (c) and submit a fee of \$355.00 to cover the additional amount due for filing an application as a large entity. Applicants' prior claim to small entity was made in good faith.

Respectfully submitted,
DAVID A. FOTLAND AND
TIBET MIMAROGLU

Dated: 24 Sept. 2001

By: 
John T. McNelis, Reg. No.: 37,186
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7133
Fax.: (650) 494-1417



0002/PTO(modified)
Rev. 10/2000

U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$ 485.00)**

Complete if Known	
Application Number	09/888,296
Filing Date	June 22, 2001
First Named Inventor	David A. Fotland
Group Art Unit	Not Yet Known
Examiner Name	Not Yet Known
Attorney Docket Number	20880-06029; Case 6029 US

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METHOD OF PAYMENT	FEE CALCULATION (continued)
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1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †
- ☐ Applicant claims small entity status
See 37 CFR 1.27

Deposit Account Number: 19-2555
Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:

☒ Checks ☐ Credit Card ☐ Other

FEE CALCULATION (fees effective 10/01/2000)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$710	201/\$355	Utility Filing	
106/\$320	206/\$160	Design Filing	
108/\$710	208/\$355	Reissue	
114/\$150	214/\$75	Provisional Filing	
SUBTOTAL (1)			(\$ 0.00)

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$80	202/\$40	Independent claims in excess of 3
104/\$270	204/\$135	Multiple dependent claim
109/\$80	209/\$40	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	130
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
147/\$2,520	147/\$2,520	For filing a request for reexamination	
115/\$110	215/\$55	Extension for response within first month†	
116/\$390	216/\$195	Extension for response within second month†	
117/\$890	217/\$445	Extension for response within third month†	
118/\$1,390	218/\$695	Extension for response within fourth month†	
128/\$1,890	228/\$945	Extension for response within fifth month†	
119/\$310	219/\$155	Notice of Appeal	
141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application	
142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)	
143/\$440	243/\$220	Design Issue Fee	
122/\$130	122/\$130	Petitions to the Commissioner	
126/\$180	126/\$180	Submission of Information Disclosure Statement	
179/\$710	279/\$355	Request for Continued Examination (RCE)	
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	
146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))	
149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify):		Difference in Filing Fee from Small to Large Entity	355
Other fee (specify):			
SUBTOTAL (3)			(\$ 485.00)

(Col. 1)		(Col. 2)		(Col. 3)		Fee		Fee Due	
For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**	x		=	
TOTAL		minus*	20 or 0	=		x		=	
INDEP		minus*	3 or 0	=		x		=	
[] First presentation of multiple dependent claim									

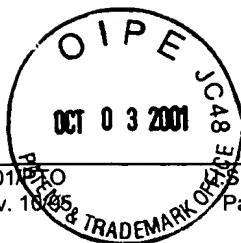
* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) **(\$ 0.00)**

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	John T. McNelis	Reg. Number	37,186
Signature		Date	24 Sep 01

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



DAEC for \$ +

PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

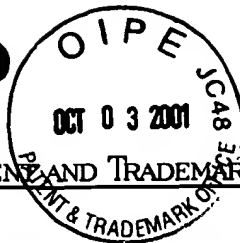
0001/PTO Rev. 10/95 TRANSMITTAL FORM (to be used for all correspondence during pendency of filed application)	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/888,296	
		Filing Date	June 22, 2001	
		First Named Inventor	David A. Fotland	
		Group Art Unit Number	Not Yet Known	
		Examiner Name	Not Yet Known	
Total Number of Pages in This Submission		8	Attorney Docket Number	20880-06029; Case 6029 US

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ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Checks Enclosed (\$130.00 / Missing Parts Surcharge & \$ 355.00 / Difference in Filing Fee from Small to Large Entity) <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts and Change of Small Entity Status Under 37 CFR 1.28 (c) <input type="checkbox"/> Assignment & Recordation Cover Sheet <input checked="" type="checkbox"/> Declaration <input checked="" type="checkbox"/> Power of Attorney <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) [] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input checked="" type="checkbox"/> Copy of Notice to File Missing Parts (Part 2) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT		
Signature:		
Attorney/Reg. No.:	John T. McNelis/Reg. No. 37,186	Dated: 24 Sep 01

CERTIFICATE OF MAILING		
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.		
Signature:		
Typed or Printed Name:	John T. McNelis	Dated: 24 Sep 01
Express Mail Mailing Number (optional):		



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/888,296	06/22/2001	David A. Fotland	20880-06029

00758
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306

CONFIRMATION NO. 9976

FORMALITIES LETTER



OC00000006332596

Date Mailed: 07/24/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

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An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

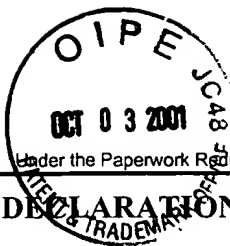
A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Adjustment date: 10/05/2001 NHCHMM1
06/28/2001 BARRMM1 00000090 09888296
01 FC:201 -355.00 OP

10/05/2001 NHCHMM1 00000006 192555 09888296
01 FC:101 740.00 OP
02 FC:105 30.00 CH 100.00 OP



#4

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/01A (10-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

As the below named inventor(s), I/we declare that:

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This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 09/888,296, filed on June 22, 2001,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: David A. Fotland Citizen of: USA
Signature: [Signature] Date: 9/6/2001

Inventor two: Tibet Mimaroglu Citizen of: USA
Signature: [Signature] Date: 09/06/2001

Inventor three: _____ Citizen of: _____
Signature: _____ Date: _____

Inventor four: _____ Citizen of: _____
Signature: _____ Date: _____

☐ Additional inventors are being named on _____ additional form(s) attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Please type a plus sign (+) inside this box →

+

PTO/SB/81 (10-00)

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POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/888,296
Filing Date	June 22, 2001
First Named Inventor	David A. Fotland
Title	System And Method For Reading And Writing A Thread State In A Multithreaded Central Processing Unit
Group Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	20880-06029; Case 6029

I hereby appoint:



Practitioners at Customer Number

00758



OR



Practitioner(s) named below:

Name	Registration Number
John T. McNelis	37,186
Rajiv P. Patel	39,327
Geoffrey W. Lin	46,874
Jeffrey S. Smith	39,377

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States
 Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:



The above-mentioned Customer Number.

I am the:



Applicant/Inventor OR



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	David A. Fotland
Signature	
Date	9/6/2001

I am the:



Applicant/Inventor OR



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Tibet Mimaroglu
Signature	
Date	09/06/2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 forms are submitted.